



OFFICE OF INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE

FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

AUGUST 2004

A handwritten signature in black ink, reading "Michael A. Kilpatrick".

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Office of Independent Oversight
and Performance Assurance**

U.S. DEPARTMENT OF ENERGY

OFFICE OF SECURITY AND SAFETY PERFORMANCE ASSURANCE

**Office of Independent Oversight and Performance Assurance (OA)
Functions, Responsibilities, and Authorities Manual (FRAM)
Revision 1**

Summary of Changes

1. The primary purpose of the revision is to account for the changes to OA as a result of the formation of SSA, i.e.:
 - reorganization of OA from five to four subordinate offices,
 - transfer of Cyber Forensics Lab from SO to OA-20,
 - renaming of Office of ES&H Evaluation, and
 - discussion of conflict of interest and interface between OA and SO.
2. The secondary purpose of the revision is to ensure incorporation of information contained in relevant documents revised since the issuance of the OA FRAM Rev. 0, dated February 2002, e.g., DOE O 470.2B *Independent Oversight and Performance Assurance Program*, dated 10/31/02.
3. The format and style of the OA FRAM has been altered to reflect the latest DOE FRAM, DOE M 411.1-1C, dated 12/31/03.
4. Specific Changes: The following identifies and explains notable changes.

Section	Page	Change
Cover	1	Account for SSA.
Table of Contents	2	Reorganization based on DOE M 411.1-1C.
1.1 Scope	3-4	Specifically identifies the programs OA reviews and the programs it does not review, i.e. dam and aviation safety. Also specifies the DOE organizations for which OA is not responsible for performing appraisals.
2.1 OA Organization	5-6	Reorganization based on the formation of SSA.
4.0 Interface with Other Organizations	13-16	Expanded from Rev. 0. Section 4.4 Office of Security, acknowledges formation of SSA and discusses methods for avoiding conflict of interest.
Appendix A: OA Functions, Responsibilities, and Authorities	17-23	Expanded to reflect DOE M 411.1-1C style. Now includes relevant DOE policies, orders, manuals, guides, and notices that identify responsibilities assigned to OA.

Office of Independent Oversight and Performance Assurance

Functions, Responsibilities, and Authorities Manual

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1.0 Introduction and Objective

The Department of Energy (DOE) has the responsibility to ensure that operations at its facilities are conducted safely. DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, and the associated manual, DOE M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, dated 12-31-03, define DOE safety¹ management functions, responsibilities, and authorities to ensure work is performed safely and efficiently. These two documents require DOE senior management responsible for line, support, oversight, and enforcement functions to develop, issue, and maintain organizational functions, responsibilities, and authorities documents. Each organizational-level functions, responsibilities, and authorities document must define the safety management function for the organization and clearly identify who within the organization has the responsibility and authority to perform those functions.

This functions, responsibilities, and authorities manual (FRAM) is the organizational-level document that defines functions, responsibilities, and authorities for the Office of Independent Oversight and Performance Assurance (OA) and implements both referenced policy and manual requirements as well as DOE O 470.2B, *Independent Oversight and Performance Assurance Program*, dated 10-31-02. This FRAM defines the safety management functions for the organization, and clearly identifies who within the organization has the responsibility and authority to perform those functions.

The FRAM is organized as follows:

Section 1 contains the introduction, objective, scope, and change control of the document.

Section 2 describes the OA mission and organization.

Section 3 identifies functions, responsibilities, and authorities for OA and its component offices.

Section 4 describes the relationships and interfaces between OA and other Departmental and other organizations.

Appendix A contains a crosswalk of functions, responsibilities, and authorities assigned by DOE notices, policies, orders, guides and manuals for OA and its component offices.

Appendix B identifies recommended changes to DOE documents regarding current OA functions, responsibilities, and authorities.

Appendices C and D identify DOE references and acronyms used within this document, respectively.

1.1 Scope

The scope of this FRAM includes functions, responsibilities, and authorities for independent oversight in the areas of safeguards and security, cyber security, and emergency management as well as environment, safety, and health (ES&H). Functions, responsibilities, and authorities are defined for all activities conducted by OA and ensure that the responsibilities and authorities

¹ As used in DOE P 411.1 and DOE M 411.1-1C the term “safety” encompasses “environment, safety, and health” functions to the extent that those functions relate to the safe management of DOE facilities or activities.

flow down to the individuals who do the work. This document addresses both the independent oversight functions for integrated safety management (ISM) and integrated safeguards and security management (ISSM). Activities within both functions include planning, conducting, reporting, funding, monitoring, and improving all independent oversight activities.

OA oversight activities pertain to all aspects of safety except for aviation and dam safety. OA conducts oversight activities for the entire Department, including the National Nuclear Security Administration (NNSA), except for the following (unless otherwise stated):

- Naval Nuclear Propulsion Program;
- Office of Intelligence (IN) operations (see Section 4.0); and
- Bonneville Power Administration (ES&H only).

1.2 Change Control

The Director, OA, is responsible for maintaining and approving changes to the OA FRAM. The OA FRAM will be reviewed annually or as required and updated in response to the following:

1. Changes in OA functions, responsibilities, and authorities dictated by DOE management via orders and manuals; or
2. Changes in subordinate OA offices' functions, responsibilities, and authorities because of changes in management systems, organization, or delegation within OA.

The OA FRAM will be maintained in the OA electronic document control system and, as a minimum, distributed to OA subordinate office managers.

2.0 OA Mission

OA provides accurate and comprehensive information and analysis regarding the effectiveness, vulnerabilities, and trends of DOE safeguards and security, cyber security, emergency management, and ES&H programs; and other critical functions of interest to the Secretary, Deputy Secretary, Under Secretary (Energy, Science, and Environment), and Administrator NNSA; Congressional committees; and other stakeholders, such as the Defense Nuclear Facilities Safety Board (DNFSB) in support of the Department's strategic and general goals.

As a corporate resource, OA conducts appraisals to verify that the Department's safeguards and security interests are protected, that the Department can effectively respond to emergencies, and that site workers, the public, and the environment are protected from DOE hazardous operations and materials. As such, the OA objectives are tied directly to the DOE Defense and Environment Strategic and Staff Office goals.

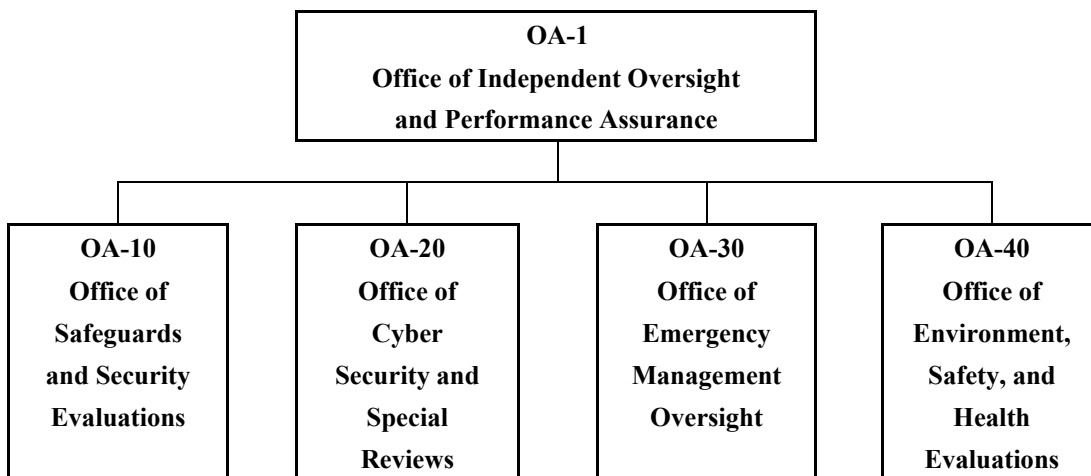
OA is organizationally independent of the DOE offices that develop and implement security and safety policy and programs and, therefore, can objectively observe and report on the status and effectiveness of these policies and programs as they relate to Departmental operations. Appraisals conducted by OA can be facility- or site-specific or, Department-wide and, are intended to complement, not replace, line management's responsibility for security and safety

program oversight and self-assessments as required by ISSM and ISM systems implemented throughout the Department.

Appraisal processes utilized by OA are governed by documented, formal protocols addressing all phases of appraisal activities. However, these processes are also conducive to changing conditions and the needs of the Department. A well-trained and experienced Federal staff, complemented by contracted experts, implements OA appraisal processes. The OA program includes inspections, follow-up reviews, assessments, investigations, special studies, and special reviews, collectively referred to as appraisals. OA personnel observe operations and conduct performance tests to validate the effectiveness of safety and security programs and policies. The products of OA efforts are reports documenting activities conducted, appraisal results, and opportunities for improvement.

2.1 OA Organization

OA consists of a front office and four subordinate offices, as illustrated.



The OA-1 office consists of an office director and administrative support. The subordinate offices each consist of an office director, administrative support, and a cadre of Federal staff and contracted experts that perform the individual and overall office mission. Although teams are formed within the individual subordinate offices, no further management hierarchy exists.

On December 4, 2003, the Secretary of Energy announced the establishment of the Office of Security and Safety Performance Assurance (SSA) bringing together the Office of Security (SO) and OA under one manager to better coordinate the roles of independent oversight and security policy organizations within the Department. SSA is responsible for the development, promulgation, and evaluation of security programs, and the oversight of safeguards and security, cyber security, emergency management, and ES&H programs throughout the Department. The Director, SSA reports directly to the Secretary of Energy. The merging of SO and OA under one office provides for better integration and collaboration among the security and oversight communities and generates a synergy that facilitates communication and is responsive to the

needs of Headquarters and field organizations. Interface between OA and SO is further described in Section 3.6.

The establishment of SSA resulted in OA remaining virtually intact. However, in order to eliminate redundancy and increase efficiency of operations, the resource management functions (procurement, budget, human resource, information technology, and administration) of both SO and OA were combined and moved to the corporate level within SSA. Additionally, management of the Cyber Forensics Laboratory (CFL) was transferred from SO to OA-20 (see Section 3.3 for more detail).

3.0 Functions, Responsibilities, and Authorities

The basis of OA functions, responsibilities, and authorities is established through DOE O 470.2B, *Independent Oversight and Performance Assurance Program*, dated 10-31-02. The order identifies OA as the DOE focal point for independent evaluation of DOE sites, facilities, organizations, and operations in the areas of safeguard and security; cyber security; emergency management; and environment, safety, and health. The order specifies that OA report directly to the Secretary and is independent of DOE elements that have line, program management, and/or policy development responsibilities. Additionally, the order establishes clear responsibilities for the Director, OA, and details the requirements for the basis for independent oversight activities; conduct of appraisals; response to significant vulnerabilities; reporting of appraisal results; and corrective action development, approval, and closure (follow-up) processes for findings, issues, or concerns identified during appraisals.

OA also draws functions, responsibilities, and authorities from other DOE directives, including DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, and the associated manual, DOE M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, dated 12-31-03.

Due to the formation of SSA, the Director, OA reports to the Secretary through the Director, SSA. This fact is acknowledged in DOE M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, dated 12-31-03. The change will be addressed in future revisions to the applicable orders and manuals.

Functions, responsibilities, and authorities for OA offices are described in the following sections and delineated in Appendix A.

3.1 Office of Independent Oversight and Performance Assurance (OA-1)

The functions of OA-1 include strategic direction (e.g., setting priorities, establishing policies, approving appraisal plans and schedules, administering the office, and developing and maintaining the necessary infrastructure) and quality management (e.g., reviewing and approving reports, ensuring effective validation processes, and establishing quality review boards (QRB)). This office also provides communication, coordination, and feedback with the Secretary, Deputy Secretary, Director, SSA, and other senior DOE managers to identify issues and concerns and to

support interface with DOE operations offices and field elements, NNSA, congressional staff, and other stakeholders.

Specific independent oversight responsibilities:

- Maintain the OA functions, responsibilities, and authorities document.
- Develop and maintain protocols for conducting appraisals of safeguards and security; cyber security; emergency management; and ES&H. These protocols address: appraisal priorities, frequency, and scheduling; appraisal planning; data collection, analysis, and validation methods; development of ratings, findings, and opportunities for improvement; report preparation; and follow-up activities, as appropriate.
- Maintain awareness of the status of findings and ratings identified during appraisals.
- Coordinate with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.
- Coordinate with the Office of Price-Anderson Enforcement when appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act.
- Provide input on the status of safeguards and security throughout the Department to the Administrator, NNSA, for use in the Annual Report to the Secretary and the Annual Report to the President, as appropriate.
- Cooperate with the DNFSB, including ready access to OA inspection results, and respond to DNFSB recommendations, as applicable.

The *OA Appraisal Process Protocols*, dated January 2002, is the upper-tier appraisal process document developed as part of a continuing effort to enhance the quality, consistency, and contribution of independent oversight activities. The protocols describe the general process and principal activities for evaluating the effectiveness of DOE safeguards and security, cyber security, emergency management, and ES&H policies, and the effectiveness of DOE line management in implementing those policies throughout the Department. The protocols describe the overall philosophy, approach, scope, and procedures to be used by all OA organizations while conducting appraisals. Subject-specific program plans, guides, procedures, and protocols have been developed and published, as necessary, to assist in accomplishing office-specific missions and responsibilities.

The *OA Appraisal Process Protocols*, dated January 2002, do not reflect the formation of SSA. The changes to the OA organization did not impact overall appraisal processes and will be reflected in the next revision to the protocols.

3.2 Office of Safeguards and Security Evaluations (OA-10)

The Office of Safeguards and Security Evaluations (OA-10) is responsible for the independent evaluation of the effectiveness of nuclear safeguards and security policies and programs throughout the Department, including protection of special nuclear material (SNM), protection of classified and sensitive information, and foreign visits and assignments (FV&A). The scope of

the evaluations conducted may include any or all aspects of safeguards and security. Evaluations may be conducted at a single entity or an entire site. In addition, OA-10 performs complex-wide studies of issues and generic weaknesses in safeguards and security to ensure that they are appropriately addressed. Special reviews are conducted as requested/mandated by the Secretary or the Administrator, NNSA. The evaluations consist of document reviews, interviews of key personnel, and performance testing of safeguard and security systems. Force-on-force exercises are conducted to provide evaluation of security response against trained adversaries. Additionally, OA-10 evaluates the effectiveness of DOE line and contractor feedback and improvement systems.

The office develops and validates reports that identify findings, issues, and opportunities for improvement. Identified safeguard and security issues and findings are communicated to the Office of Security (SO) for input into the Safeguards and Security Information Management System (SSIMS), a database that tracks classified findings and associated corrective actions pertaining to safeguards and security, and cyber security (see Section 4.0). The office reviews corrective action plans for adequacy, monitors implementation progress, and conducts follow-up evaluations to determine the status and effectiveness of corrective actions.

Specific independent oversight responsibilities:

- Maintain office-specific policies, procedures, standards, and guidelines.
- Review other government and commercial safeguards and security programs to provide a benchmark for DOE performance.
- Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites.
- Coordinate with the applicable DOE policy organization (e.g., SO) to resolve safeguards and security policy findings or deficiencies and to ensure accurate interpretation of requirements.
- Assist the Director, OA, to coordinate with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.
- Provide input on the status of safeguards and security throughout the Department to the Director, OA, for use in the Annual Report to the Secretary and the Annual Report to the President, as appropriate.
- Maintain the Composite Adversary Team (CAT) used to perform force-on-force performance exercises.
- Validate and verify the management and implementation of the Incidents of Security Concern Program.
- Perform regular assessments of nuclear materials assurance at DOE sites.

OA-10 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of safeguards and security policies and programs, monitoring performance, and conducting performance testing. The following protocols and supporting office documents have been developed:

- Office of Safeguards and Security Evaluations, Safeguards and Security Appraisal Process Guide, August 2000;
- Composite Adversary Team (CAT) Standard Operating Procedure, December 2000;
- Physical Security Systems Inspectors Guide, September 2000 (under revision);
- Personnel Security Inspectors Guide, May 2004;
- Classified Matter Protection and Control Inspectors Guide, May 2004;
- Protective Force Inspectors Guide, February 2000 (under revision);
- Context and Protocols for Performance Testing of Protective Forces, February 1999;
- Material Control and Accountability Inspectors Guide, May 2004; and
- Protection Program Management Inspectors Guide, July 1994 (under revision).

3.3 Office of Cyber Security and Special Reviews (OA-20)

The Office of Cyber Security and Special Reviews (OA-20) is responsible for the independent evaluation of the effectiveness of classified and unclassified computer security policies and programs throughout DOE. The scope of the evaluations conducted may include any or all aspects of cyber security. Evaluations may be conducted at a single entity or an entire site. In addition, OA-20 performs complex-wide studies of issues and generic weaknesses in cyber security to ensure that they are appropriately addressed. Special reviews are conducted as requested/mandated by the Secretary or the Administrator, NNSA. The evaluations consist of document reviews, interviews of key personnel, and performance testing of cyber security systems. The office has established and maintains a continuous program for assessing Internet security to include offsite scanning and controlled penetration capabilities to detect vulnerabilities that could be exploited by hackers. Penetration testing may be performed announced or unannounced. Additionally, OA-20 evaluates the effectiveness of DOE line and contractor feedback and improvement systems.

The office develops and validates reports that identify findings, issues, and opportunities for improvement. Identified cyber security issues and findings are communicated to the Office of the Chief Information Officer (OCIO) and the Office of Security (SO) for input into the Safeguards and Security Information Management System (SSIMS), a database that tracks classified findings and associated corrective actions pertaining to safeguards and security, and cyber security (see Section 4.0). The office reviews corrective action plans for adequacy, monitors implementation progress, and conducts follow-up evaluations to determine the status and effectiveness of corrective actions.

In addition, the office manages the Cyber Forensics Laboratory (CFL), which provides services to support inquiries and investigations of unauthorized disclosure of information involving Departmental computer systems. The CFL also provides other cyber forensics services such as recovering data from corrupted electronic media.

Specific oversight responsibilities:

- Maintain office-specific policies, procedures, standards, and guidelines.

- Review other governmental and commercial cyber security programs to provide benchmarks for DOE performance.
- Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites.
- Coordinate with the applicable DOE policy organization (e.g., OCIO or SO) to resolve cyber security policy findings or deficiencies and to ensure accurate interpretation of requirements.
- Assist the Director, OA, to coordinate with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.
- Provide input on the status of safeguards and security throughout the Department to the Director, OA, for use in the Annual Report to the Secretary and the Annual Report to the President, as appropriate.
- Provide input for the annual evaluation of DOE's unclassified information security programs as required by the Federal Information Security Management Act (FISMA).
- Conduct annual evaluations of classified information security programs for DOE as required by FISMA.
- Review and comment on proposed software quality assurance policy, regulations, standards, and requirements to assess their potential effects on the security of operations at DOE facilities.
- Implement an independent oversight program for evaluating Program Cyber Security Plan (PCSP) performance and compliance encompassing all DOE elements.
- Coordinate with the CIO and Office of Counterintelligence (CI) on topics of concern for scheduled inspections.

OA-20 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of cyber security policies and programs, monitoring performance, and conducting performance testing. The following protocols and supporting office documents have been developed:

- Office of Cyber Security and Special Reviews Appraisal Process Guide, November 2001;
- Technical Standard Operating Procedure, February 2002;
- Cyber Security Testing Network (CST Net) Cyber Security Plan, December 2003; and
- Wireless Local Area Network Testing Procedure, May 2004.

3.4 Office of Emergency Management Oversight (OA-30)

The Office of Emergency Management Oversight (OA-30) is responsible for the independent evaluation of the effectiveness of DOE emergency management policies and programs including assessing the classification of events, the performance of protective actions and medical response, and the effectiveness of interfaces and coordination with external organizations. The scope of the evaluations conducted may include any or all aspects of emergency management. Evaluations may be conducted at a single entity or an entire site. In addition, OA-30 performs

complex-wide studies of issues and generic weaknesses in emergency management to ensure that they are appropriately addressed. Special reviews are conducted as requested/mandated by the Secretary or the Administrator, NNSA. The evaluations consist of document reviews, interviews of key personnel, and performance testing of emergency management systems. Performance testing is accomplished through tabletop and other emergency management-type exercises. Additionally, OA-30 evaluates the effectiveness of DOE line and contractor feedback and improvement systems.

The office develops and validates reports that identify findings, issues, and opportunities for improvement. Identified emergency management issues and findings are communicated to the Office of Environment, Safety, and Health (EH) for input into the Corrective Action Tracking System (CATS), a database that tracks unclassified findings and associated corrective actions pertaining to environment, safety, and health; and emergency management (see Section 4.0). The office reviews corrective action plans for adequacy, monitors implementation progress, and conducts follow-up evaluations to determine the status and effectiveness of corrective actions.

Specific independent oversight responsibilities:

- Maintain office-specific policies, procedures, standards, and guidelines.
- Review other government and commercial emergency management programs to provide a benchmark for DOE performance.
- Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites.
- Coordinate with the applicable DOE policy organization (e.g., EH or NA-40) to resolve emergency management policy findings or deficiencies and to ensure accurate interpretation of requirements.
- Assist the Director, OA, to coordinate with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.
- Assist the Director, OA, to coordinate with the Office of Price-Anderson Enforcement when appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act.
- Assist the Director, OA, to cooperate with the DNFSB, including ready access to OA inspection results, and respond to DNFSB recommendations, as applicable.

OA-30 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of emergency management programs, elements, and exercises. The following protocols and supporting office documents have been developed:

- Emergency Management Oversight Appraisal Process Guide, March 2003;
- Emergency Management Program Evaluation Inspectors Guide, January 2001;
- Tabletop Performance Test Inspectors Guide, January 2001; and
- Memorandum, Standards and Criteria for Evaluating DOE Emergency Management Programs, March 23, 2000.

3.5 Office of Environment, Safety, and Health Evaluations (OA-40)

The Office of Environment, Safety, and Health (ES&H) Evaluations (OA-40, formerly OA-50) is responsible for evaluating ES&H policies and programs throughout the Department to ensure adequate protection of workers, the public, and the environment. The office performs independent evaluations of the effectiveness of DOE line and contractor ES&H management systems utilizing the guiding principles and core functions of ISM. Performance is also evaluated against DOE as well as Federal, State, and local ES&H regulations. The scope of the evaluations conducted may include any or all aspects of ES&H management. Evaluations may be conducted at a single entity or an entire site. In addition, OA-40 performs complex-wide studies of issues and generic weaknesses in ES&H to ensure that they are appropriately addressed. Special reviews are conducted as requested/mandated by the Secretary or the Administrator, NNSA. The evaluations consist of document reviews, interviews of key personnel, and observation of work activities. Safety system functionality is evaluated by reviewing maintenance, operations, configuration management, and surveillance testing. Additionally, OA-40 evaluates the effectiveness of DOE line and contractor feedback and improvement systems.

The office develops and validates reports that identify findings, issues, and opportunities for improvement. Identified ES&H issues and findings are communicated to the Office of Environment, Safety, and Health (EH) for input into the Corrective Action Tracking System (CATS), a database that tracks unclassified findings and associated corrective actions pertaining to environment, safety, and health; and emergency management (see Section 4.0). The office reviews corrective action plans for adequacy, monitors implementation progress, and conducts follow-up evaluations to determine the status and effectiveness of corrective actions.

Specific independent oversight responsibilities:

- Maintain office-specific policies, procedures, standards, and guidelines.
- Review other government and commercial ES&H programs to provide a benchmark for DOE performance.
- Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites.
- Coordinate with the applicable DOE policy organization (e.g., EH) to resolve ES&H policy findings or deficiencies and to ensure accurate interpretation of requirements.
- Assist the Director, OA, to coordinate with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.
- Assist the Director, OA, to coordinate with the Office of Price-Anderson Enforcement when appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act.
- Assist the Director, OA, to cooperate with the DNFSB, including ready access to OA inspection results, and respond to DNFSB recommendations, as applicable.
- Assess the performance of DOE in implementing safety software requirements.

- Implement a Technical Qualification Program (TQP) for all DOE employees whose duties and responsibilities require them to provide oversight that could impact the safe operation of a defense nuclear facility.

OA-40 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of ES&H performance throughout the Department. The following protocols and supporting office documents have been developed:

- Environment, Safety and Health Appraisal Process Guide, March 2003;
- Technical Qualifications Program Procedure, October 2003;
- Office Specific Qualification Standard for ES&H Systems Assessor/Appraiser, October 2003; and
- Summary of the Office of ES&H Evaluations Appraisal Process, March 2003.

4.0 Interface with Other Organizations

OA places a high degree of emphasis on working with policy and line organizations, such as SO, the Office of the Chief Information Officer (CIO), Office of Environment, Safety, and Health (EH), Office of Emergency Operations (NA-40), NNSA, DNFSB, operations offices, and the sites to ensure that identified problems have been adequately addressed. This approach has met with considerable success because of the combined effort of DOE field and Headquarters organizations and the support of senior DOE management. OA also interfaces with organizations external to DOE such as the Nuclear Regulatory Commission (NRC). The relationship with these and identified DOE organizations is further elaborated below.

4.1 Office of the Chief Information Officer (CIO)

CIO is responsible for establishing, implementing, and maintaining a comprehensive and effective cyber/computer security program to protect the Department's classified and unclassified information and information technology assets; defining and implementing policies, procedures, and guidelines to ensure efficient, economical, and effective information management planning, acquisition, and management; and promoting effective Departmental operations by encouraging performance-based management and, where appropriate, facilitating the restructure of mission related processes before making significant information technology investments. OA coordinates with the CIO for cyber security policy interpretation; provides feedback on the implementation of cyber security policy throughout the Department; communicates findings identified during appraisal activities; and provides feedback in the development of new policy to address continuously evolving issues. OA also maintains a memorandum of understanding (MOU) with the CIO regarding unannounced cyber penetrating performance testing procedures at NNSA sites.

4.2 Office of Environment, Safety, and Health (EH)

EH is responsible for advising the Secretary of Energy on the status of the health and safety of DOE workers, the public, and the environment near DOE facilities. The mission of EH is to provide corporate infrastructure and technical resources that enable work to be performed in a

safe, healthful, and environmentally sound manner. EH develops programs and policies, and monitors environment, safety, and health performance.

EH has the corporate responsibility for maintaining the DOE corrective action management program for all safety issues (findings) resulting from emergency management and ES&H appraisals. OA coordinates with EH to ensure that all applicable appraisal results and corrective action plans are entered into the corporate Corrective Action Tracking System (CATS). All emergency management and ES&H appraisal reports are provided to EH and; OA provides necessary information to EH in order to complete the data entry fields in CATS for identified safety issues. OA also coordinates with the EH Office of Price-Anderson Enforcement to ensure identification of any potential non-compliance with rules (10 CFR 820, 830, 834, and 835) related to the Price-Anderson Amendments Act, where warranted.

4.3 Office of Intelligence (IN)

IN provides the Secretary, his staff, and other policymakers within the Department timely, technical intelligence analyses on all aspects of foreign nuclear weapons, nuclear materials, and energy issues worldwide. At their request, OA performs reviews of IN information systems pursuant to the Federal Information Security Management Act (FISMA) requirements for independent security evaluations of information systems. The reviews include both cyber and physical security aspects.

4.4 Office of Security (SO)

SO is responsible for the development and interpretation of safeguards and security policy throughout the Department, providing policy guidance, establishing security-related training standards, providing professional training, and directing the development, evaluation, and dissemination of security related technologies. SO is also responsible for maintaining the Safeguards and Security Information Management System (SSIMS), a database that tracks classified findings and associated corrective actions pertaining to safeguards and security, and cyber security. OA coordinates with SO to ensure that all applicable appraisal results and corrective action plans are entered into SSIMS. OA also keeps SO apprised of the implementation of safeguards and security policies.

The formation of SSA resulted in placing responsibility for both safeguards and security policy development (SO) and the oversight of that policy (OA) under one director. While the placement of both functions under a single manager may present the appearance and suggest the possibility of a conflict of interest, measures have been taken to assure that no such conflict results and that the previous relationship between the two organizations remains essentially unchanged. SO develops and interprets safeguards and security policy, provides policy guidance, provides related professional training, and directs development and evaluation of security-related technologies. OA evaluates the implementation of security policies, the effectiveness of security training, and the effectiveness of security technology implementation. When OA identifies an issue concerning the adequacy of a security policy, it formally transmits a policy issue paper to SO, identifying, describing, and explaining the nature of the issue and the

observed consequences. SO is responsible for determining what action is necessary to address the issue, and for initiating appropriate action.

The purpose of placing both offices under one director is to quickly and effectively address implementation of policy concerns identified through oversight (e.g., regarding the adequacy or proper interpretation of policies). To preserve the separation of the policy and oversight functions, and particularly to ensure the independence of the oversight function, SSA has established a protocol that can be used when the Director, OA, and the Director, SO, have different points of view, which cannot be reconciled by the Director, SSA. In such cases, the OA and SO Directors have the ability to present the issue to the Deputy Secretary for advice and decision.

4.5 National Nuclear Security Administration (NNSA)

NNSA is a semi-autonomous agency within DOE that has the mission to:

- enhance U.S. national security through the military application of nuclear energy;
- maintain and enhance the safety, reliability, and performance of the U.S. nuclear weapons stockpile;
- provide the U.S. Navy with safe, militarily effective nuclear propulsion plants and to ensure the safe and reliable operation of those plants;
- promote international nuclear safety and nonproliferation;
- reduce global danger from weapons of mass destruction; and
- support U.S. leadership in science and technology.

OA conducts appraisals of NNSA programs and facilities and reports those findings to the Administrator, NNSA, as well as the Secretary. OA may conduct special reviews of NNSA operations at the request of the Administrator, NNSA. A memorandum of understanding (MOU) between OA and NNSA is maintained regarding unannounced cyber penetrating performance testing procedures conducted at NNSA sites. An interface protocol is also maintained that defines the operating relationship between the two entities when OA performs independent oversight of NNSA environment, safety, and health activities.

4.6 Office of Emergency Operations (NA-40)

NA-40 administers DOE and NNSA emergency response capability to ensure availability and viability to respond to emergencies at DOE and NNSA facilities and field sites, and to nuclear and radiological emergencies within the U.S. and abroad. NA-40 serves as the DOE primary point of contact for all emergency management activities, developing and issuing all policy, procedures, and guidance; and overseeing implementation of the DOE Emergency Management System. OA keeps NA-40 informed of the implementation of emergency management policies; provides feedback to NA-40 on the effectiveness of existing policies; provides technical review of proposed policies; and provides NA-40 copies of OA emergency management appraisals.

4.7 DOE Inspector General (IG)

The DOE IG promotes the effective, efficient, and economical operation of the Department programs and operations through audits, inspections, investigations, and other reviews designed to identify fraud, waste, and abuse of the U.S. tax dollar. OA coordinates with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and/or abuse considerations. In addition, OA provides input to the IG for the annual evaluation of unclassified cyber security programs.

4.8 Defense Nuclear Facilities Safety Board (DNFSB)

DNFSB is an independent federal agency established by Congress in 1988 whose mandate, under the Atomic Energy Act, is to provide safety oversight of the nuclear weapons complex operated by DOE. The DNFSB purview is, therefore, primarily focused on NNSA facilities. OA and DNFSB conduct inspections and appraisals of DOE operations independent of each other. However, the organizations share inspection results.

4.9 Nuclear Regulatory Commission (NRC)

Independent oversight activities for DOE facilities or activities licensed by the NRC must, except where excluded by law or DOE policy, be structured to minimize or eliminate duplication of oversight efforts while ensuring DOE security interests; emergency management; and ES&H programs and associated facilities are independently evaluated. Accordingly, the scheduling of OA activities takes into account NRC inspection schedules.

Appendix A: OA Functions, Responsibilities, and Authorities

The following table identifies the functions, responsibilities, and authorities for OA as dictated by the identified policies, orders, manuals, guides, and notices. OA subordinate offices have been identified to illustrate the flow down of responsibility from the Director, OA and to identify who has the authority and responsibility to perform a particular function. Offices within parentheses indicate which subordinate office(s) provide primary support to OA-1 for a particular requirement.

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
Program Management	Develops and maintains DOE safeguards and security; cyber security; emergency management; and ES&H independent oversight and performance assurance policies, procedures, standards, and guidelines.	DOE O 470.2B, 5.a.(1)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Develops and maintains protocols for conducting appraisals of safeguards and security; cyber security; emergency management; and ES&H. These protocols will address: appraisal priorities, frequency, and scheduling; appraisal planning; data collection, analysis, and validation methods; development of ratings, findings, and opportunities for improvement; report preparation; and follow-up activities, as appropriate.	DOE O 470.2B 5.a.(12)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Directs, manages, and conducts the safeguards and security; cyber security; emergency management; and ES&H independent oversight programs.	DOE O 470.2B, 5.a.(5)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Conducts various independent assessments of SO, field element, and contractor implementation of this Order and 10 CFR 830 Subpart A, Quality Assurance (QA), including aspects of QA related to ES&H, safeguards, and security.	DOE O 414.1B, 5.f.(1)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Maintains awareness of the status of findings and ratings identified during appraisals.	DOE O 470.2B 5.a.(9)	OA-1	

Appendix A: OA Functions, Responsibilities, and Authorities

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
	Independent oversight of the overall performance of the FV&A Program is the responsibility of OA.	DOE N 142.1, 4.k.	OA-1, OA-10	
	OA conducts safeguards and security inspections to ensure the effectiveness of physical security measures.	DOE O 452.4A, 5.f.	OA-1, OA-10	
	OA validates and verifies the management and implementation of the Incidents of Security Concern Program as part of the Independent Safeguards and Security Oversight Program.	DOE O 471.4, 5.h.	OA-1, OA-10	
	OA provides independent inspections and evaluations to assess the effectiveness of safeguard and security programs implemented under this order and the associated manual.	DOE O 473.1, 5.g. and DOE M 473.1-1	OA-1, OA-10	
	OA provides independent inspections and evaluations to assess the effectiveness of safeguard and security programs implemented under this order and DOE M 473.2-2.	DOE O 473.2, 5.f.	OA-1, OA-10	
	Assess and report to the Secretary of Energy on all aspects of safeguards and security related to implementation of this directive, including performance of the Secretarial Offices, field elements, and contractors.	DOE N 203.1, 5.f.(1)	OA-1, OA-20	
	Review and comment on proposed software quality assurance policy, regulations, standards, and requirements to assess their potential effects on the security of operations at DOE facilities.	DOE N 203.1, 5.f.(2)	OA-1, OA-20	

Appendix A: OA Functions, Responsibilities, and Authorities

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
	Establishes and implements an independent oversight program for DOE Cyber Security Management Program (Program) implementation and compliance in accordance with <i>DOE O 470.2B, Independent Oversight and Performance Assurance Program</i> .	DOE O 205.1, 5.e.(1)	OA-1, OA-20	
	Implements an independent oversight program for evaluating the Program performance and compliance encompassing all DOE elements.	DOE O 205.1, 5.e.(2)	OA-1, OA-20	
	Implements an independent oversight program for evaluating Program Cyber Security Plan (PCSP) performance and compliance encompassing all DOE elements.	DOE O 205.1, 5.e.(3)	OA-1, OA-20	
	Conducts performance testing, including external network penetration testing, as part of cyber security inspections to evaluate the effectiveness of cyber security measures.	DOE O 205.1, 5.e.(4)	OA-1, OA-20	
	Conducts the annual evaluation of classified cyber security for the Department in accordance with the Federal Information Security Management Act (FISMA) of 2002 and related legislation. Also provides input to the IG for the annual evaluation of unclassified cyber security programs.	DOE O 205.1, 5.e.(6)	OA-1, OA-20	
	OA provides independent oversight of the Comprehensive Emergency Management System.	DOE O 151.1B, 4.a.(9)	OA-1, OA-30	
	Assesses the performance of DOE in implementing safety software requirements.	DOE N 411.1, 4.e.	OA-1, OA-40	

Appendix A: OA Functions, Responsibilities, and Authorities

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
	OA provides staff that conduct or contract for evaluation of occupational medical programs by medical professionals with thorough knowledge of occupational medicine and the work environment.	DOE O 341.1, 5.b.	OA-1, OA-40	
	Director, Office of Independent Oversight and Performance Assurance: Acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to <i>DOE Order 470.2A, Security and Emergency Management Independent Oversight and Performance Assurance Program, dated 3-01-02</i> , to determine the effectiveness of site ES&H activities satisfying the requirements of this Order.	DOE O 420.1A, 5.c.	OA-1, OA-40	
	OA must evaluate the effectiveness of DOE Headquarters and field organization implementation of the requirements of this Order.	DOE O 450.1, 5.e.	OA-1, OA-40	
Communication	Coordinates the scheduling, notification, and planning of appraisals with appropriate Cognizant Secretarial Offices (CSO) and heads of field elements.	DOE O 470.2B, 5.a.(6)	OA-1	
	Coordinates with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.	DOE O 470.2B 5.a.(4)	OA-1	
	Advises appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites.	DOE O 470.2B 5.a.(2)	OA-1, OA-10, OA-20, OA-30, and OA-40	OA subordinate office directors are authorized to perform this function.

Appendix A: OA Functions, Responsibilities, and Authorities

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
	Briefs senior DOE officials, including the NNSA Administrator, Under Secretary, CSO, the SO, DOE policy organizations, and the managers of DOE sites, on the results of appraisal activities.	DOE O 470.2B 5.a.(3)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Reports [QA] assessment results to the appropriate Under Secretary, the Assistant Secretary for ES&H, and the assessed organization.	DOE O 414.1B, 5.f.(2)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Coordinates with the applicable DOE policy organization (e.g., SO, NA-40, EH, or CIO) to resolve safeguards and security; cyber security; emergency management; or ES&H policy findings or deficiencies and to ensure accurate interpretation of requirements.	DOE O 470.2B 5.a.(10)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Provides DOE managers with independent evaluations of safeguards and security; cyber security; emergency management; and ES&H policies, programs, and implementation. Evaluations may be provided in various written formats (e.g., inspection, management evaluation, special study, special review, and follow-up review reports).	DOE O 470.2B 5.a.(11)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	OA provides safeguards and security inspection reports related to the Nuclear Explosive and Weapon Surety (NEWS) Program to the NNSA Administrator, the Assistant Deputy Administrator for Military Application and Stockpile Operations, SO, NA-40, and the cognizant operations offices.	DOE O 452.1B, 5.g.	OA-1, OA-10	
	Coordinates with the CIO and Office of Counterintelligence (CI) on topics of concern for scheduled inspections.	DOE O 205.1, 5.e.(7)	OA-1, OA-20	

Appendix A: OA Functions, Responsibilities, and Authorities

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
	Notifies the CIO, CI, SO, and heads of DOE elements of scheduled inspections and provides opportunities to participate.	DOE O 205.1, 5.e.(8)	OA-1, OA-20	
	Provides feedback to Headquarters organizations on the effectiveness of DOE cyber security policy and implementation, and recommends improvements for cyber security programs to the heads of DOE elements, SO, and CIO.	DOE O 205.1, 5.e.(5)	OA-1, OA-20	
	Coordinates with the Office of Price-Anderson Enforcement when appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act.	DOE O 470.2B 5.a.(14)	OA-1 (OA-30 and OA-40)	
	Provide input on the status of safeguards and security throughout the Department to the Administrator, NNSA for use in the Annual Report to the Secretary and the Annual Report to the President, as appropriate.	DOE O 470.2B 4.h.	OA-1 (OA-10 and OA-20)	
Corrective Actions	Reviews corrective action plans and provides comments, when necessary, within prescribed time frames. Ensures comments are resolved or elevates comments until resolution is obtained. If needed, elevates comments to the Deputy Secretary and/or the Secretary for resolution.	DOE O 470.2B 5.a.(8)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
	Ensures that safeguards and security and cyber security findings (and related information) are entered into SSIMS in a timely manner (e.g., within 5 days following the transmittal of the final report).	DOE O 470.2B 5.a.(7)	OA-1, OA-10 and OA-20	Each subordinate office is responsible for its respective technical area.

Appendix A: OA Functions, Responsibilities, and Authorities

Function	OA Responsibility	Authority	Responsible OA Office(s)	Notes
	Ensures emergency management and ES&H findings (and related information) are entered into CATS in a timely manner (e.g., within 5 days following the transmittal of the final report).	DOE O 470.2B 5.a.(7)	OA-1, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
Follow-up	On a selected basis, conducts appraisals to verify and validate the effectiveness of corrective actions and to confirm closure of findings.	DOE O 470.2B 5.a.(13)	OA-1, OA-10, OA-20, OA-30, and OA-40	Each subordinate office is responsible for its respective technical area.
Organizational Staffing and Competency	Implement a Technical Qualification Program (TQP) for all DOE employees whose duties and responsibilities require them to provide oversight that could impact the safe operation of a defense nuclear facility.	DOE M 426.1-1	OA-1, OA-40	
Functions, Responsibilities, and Authorities Documents	Maintain the OA functions, responsibilities, and authorities document.	DOE P 411.1 and DOE M 411.1-1C, Table 8.	OA-1	Update annually.
DNFSB Interface	Cooperate with the DNFSB, including ready access to OA inspection results, and respond to DNFSB recommendations, as applicable.	DOE M 140.1-1B	OA-1 (OA-30 and OA-40)	

Appendix B: Suggested Changes to DOE Documents Relevant to OA

Number	Date	Title	Office	Suggested Change
DOE O 225.1A	11/26/97	Accident Investigation	EH	<p>EH-1/ EH-2 retains policy and program responsibility for the accident investigation program; EH-2 does not have oversight responsibility to follow-up on the effectiveness of corrective actions.</p> <p>Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities. (Conducts appraisals to verify and validate the effectiveness of line management's corrective actions and to confirm closure of findings from OA appraisals and from Type A accident investigations.)</p>
DOE M 411.1-1C	12/31/03	Safety Management Functions, Responsibilities, and Authorities Manual	EH	Delete the statement regarding the Director, OA, reporting directly to the Secretary.
DOE O 420.1A	05/20/02	Facility Safety	EH	Update reference to DOE O 470.2B Independent Oversight and Performance Assurance Program.
DOE M 435.1-1 Chg. 1	06/19/01	Radioactive Waste Management	EM	<p>Revise to reflect OA as being the corporate oversight organization for nuclear safeguards and security, cyber security, emergency management, and ES&H.</p> <p>Revise the functions of EH-1/EH-2 to be line management assistance.</p>
DOE O 440.2B	11/27/02	Aviation Management and Safety	ME	Revise to reflect that OA is not responsible for aviation safety oversight.
DOE G 440.2B-2	07/18/03	Implementation Guide - Aviation Management, Operations, Maintenance, Security, and Safety for use with DOE O 440.2B	ME	Revise to reflect that OA is not responsible for aviation safety oversight.

Appendix B: Suggested Changes to DOE Documents Relevant to OA

Number	Date	Title	Office	Suggested Change
DOE O 442.1A	06/06/01	Department of Energy Employee Concerns Program	ED	In paragraph 5d, replace EH-1 with OA-1 with the following responsibility: Acts as DOE's independent element responsibility for the oversight aspects relative to public and worker health and safety, environmental protection, programs designed for the protection of SNM, classified information, and sensitive unclassified information.
DOE G 450.4-1B	03/01/01	Integrated Management System Guide (Volume 1 and 2)	EH	<p>Revise to reflect OA as being the corporate oversight organization for nuclear safeguards and security, cyber security, emergency management, ES&H.</p> <p>Revise the functions of EH-1/EH-2 to be line management assistance. The guide would need to be revised based on the approved changes to DOE Orders 470.2 and 414.1.</p> <p>Update reference to DOE O 470.2B Independent Oversight and Performance Assurance Program.</p>
DOE P 450.5	06/26/97	Line Environment, Safety, and Health Oversight	DP	Revision should delete the "e.g." reference to EH-2 and not indicate a specific organization.
DOE O 451.1B Chg. 1	09/28/01	National Environmental Policy Act Compliance Program	EH	<p>Delete "oversight" from EH-1 responsibility, EH-1 retains policy responsibility.</p> <p>Add a new paragraph: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order.</p>
DOE O 452.1B	08/06/01	Nuclear Explosive and Weapon Surety Program	NA	Update reference to DOE O 470.2B Independent Oversight and Performance Assurance Program.
DOE O 452.2B	08/07/01	Safety of Nuclear Explosive Operations	NA	Update reference to DOE O 470.2B Independent Oversight and Performance Assurance Program.

Appendix B: Suggested Changes to DOE Documents Relevant to OA

Number	Date	Title	Office	Suggested Change
DOE O 452.4A	12/17/01	Security and Control of Nuclear Explosives and Nuclear Weapons	NA	Update reference to DOE O 470.2B Independent Oversight and Performance Assurance Program.
DOE O 460.2 Chg. 1	10/26/95	Departmental Materials Transportation and Packaging Management	EH	Delete the responsibilities assigned to EH-2 Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order.
DOE 470.2B	10/31/02	Independent Oversight and Performance Assurance Program	OA	Revise to reflect current chain of command.
DOE O 5480.4 Chg. 4	01/07/93	Environmental Protection, Safety, and Health Protection Standards	EH	Revise to reflect OA as being the corporate oversight organization for nuclear safeguards and security, cyber security, emergency management, ES&H. Revise the functions of EH-1 to be line management assistance.
DOE O 5480.19 Chg. 2	10/23/01	Conduct of Operations	EH	Delete “independent” from EH-1 responsibility; EH-1 retains policy and program responsibility. Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order.

Appendix B: Suggested Changes to DOE Documents Relevant to OA

Number	Date	Title	Office	Suggested Change
DOE O 5480.20A Chg. 1	07/12/01	Personnel Selection, Qualification, and Training Requirements	EH	Delete “independent” from EH-1 responsibility. Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order.
DOE O 5480.30 Chg. 1	01/19/93	Nuclear Reactor Safety Design Criteria	EH	Delete “independent” from EH-1 responsibility. Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order.

Appendix C: DOE References

Reference	Name	Date
DOE M 140.1-1B	Interface with the Defense Nuclear Facilities Safety Board	03/30/01
DOE N 142.1	Unclassified Foreign Visits and Assignments	07/14/99
DOE G 151.1-1	Emergency Management Guide	08/21/97
DOE O 151.1B	Comprehensive Emergency Management System	10/29/03
DOE N 203.1	Software Quality Assurance	10/02/00
DOE O 205.1	DOE Cyber Security Management Program	03/21/03
DOE O 225.1A	Accident Investigation	11/26/97
DOE O 341.1	Federal Employee Health Services	12/01/03
DOE M 411.1-1C	Safety Management Functions, Responsibilities, and Authorities Manual	12/31/03
DOE N 411.1	Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities	08/27/03
DOE P 411.1	Safety Management Functions, Responsibilities, and Authorities Policy	01/28/97
DOE G 414.1-2	Quality Assurance Management System Guide for use with 10CFR830.120 and DOE Order 414.1	06/17/99
DOE O 414.1B	Quality Assurance	04/29/04
DOE O 420.1A	Facility Safety	05/20/02
DOE M 426.1-1	Federal Technical Capability Manual	06/05/00
DOE M 435.1-1	Radioactive Waste Management	06/19/01
Chg. 1		
DOE O 440.2B	Aviation Management and Safety	11/27/02
DOE G 440.2B-2	Implementation Guide - Aviation Management, Operations, Maintenance, Security, and Safety for use with DOE O 440.2B	07/18/03
DOE 442.1A	Department of Energy Employee Concerns Program	06/06/01
DOE G 450.4-1B	Integrated Management System Guide, Volumes 1 and 2	03/01/01
DOE O 450.1	Environmental Protection Program	01/15/03
DOE P 450.4	Safety Management System Policy	10/15/96
DOE P 450.5	Line Environment Safety and Health Oversight	06/26/97
DOE P 450.6	Secretarial, Policy Statement Environment, Safety, and Health	04/14/98
DOE O 451.1B	National Environmental Policy Act Compliance Program	09/28/01
Chg. 1		
DOE O 452.1B	Nuclear Explosives and Weapons Surety Program	08/06/01
DOE O 452.2B	Safety of Nuclear Explosive Operations	08/07/01
DOE O 452.4A	Security and Control of Nuclear Explosives and Nuclear Weapons	12/17/01
DOE O 460.2	Departmental Materials Transportation and Packaging Management	10/26/95
Chg. 1		
DOE P 470.1	Integrated Safeguards and Security Management (ISSM) Policy	05/08/01
DOE O 470.2B	Independent Oversight and Performance Assurance Program	10/31/02
DOE O 471.4	Incidents of Security Concern	03/17/04
DOE O 473.1	Physical Protection Program	12/23/02
DOE M 473.1-1	Physical Protection Program Manual	12/23/02

Appendix C: DOE References

Reference	Name	Date
DOE O 473.2	Protective Force Program	06/30/00
DOE O 5480.4 Chg. 4	Environmental Protection, Safety, and Health Protection Standards	01/07/93
DOE O 5480.19 Chg. 2	Conduct of Operations	10/23/01
DOE O 5480.20A Chg. 1	Personnel Selection, Qualification, and Training Requirements	07/12/01
DOE O 5480.30 Chg. 1	Nuclear Reactor Safety Design Criteria	01/19/93
Memorandum	MOU for Unannounced Penetration Testing of Computer Systems at NNSA Sites	07/25/03
Interface Protocol	Interface Protocol between NNSA and OA	07/12/02
Memorandum	Independent Oversight of Environment, Safety, and Health	09/20/01

Appendix D: Acronyms

CAT	Composite Adversary Team
CATS	Corrective Action Tracking System
CFR	Code of Federal Regulation
CI	Counterintelligence
CIO	Chief Information Officer
CSO	Cognizant Secretarial Office
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
EH	Office of Environment, Safety, and Health
ES&H	Environment, Safety, and Health
FISMA	Federal Information Security Management Act
FRAM	Functions, Responsibilities, and Authorities Manual
FV&A	Foreign Visits and Assignments
IG	Inspector General
ISM	Integrated Safety Management
ISSM	Integrated Safeguards and Security Management
IT	Information Technology
NA-40	Office of Emergency Operations
NEWS	Nuclear Explosive and Weapons Surety
NNSA	National Nuclear Security Administration
NRC	Nuclear Regulatory Commission
OA	Office of Independent Oversight and Performance Assurance
OA-10	Office of Safeguards and Security Evaluations
OA-20	Office of Cyber Security and Special Reviews
OA-30	Office of Emergency Management Oversight
OA-40	Office of Environment, Safety and Health Evaluations
PCSP	Program Cyber Security Plan
QA	Quality Assurance
QRB	Quality Review Board
SNM	Special Nuclear Material
SO	Office of Security
SSA	Office of Security and Safety Performance Assurance
SSIMS	Safeguards and Security Information Management System
TQP	Technical Qualification Program
U.S.	United States